

PERFORMANCE MANAGEMENT SYSTEMS

- 1. REASON FOR ISSUE:** To update Department of Veterans Affairs (VA) policy regarding performance management systems.
- 2. SUMMARY OF CONTENTS/MAJOR CHANGES:** This directive provides Department-wide policy on VA's title 5 performance appraisal program and title 38 proficiency rating system. The title 5 performance appraisal policy discussed in this directive was approved by the Office of Personnel Management on May 6, 1996. This revision updates a reference to the Veterans Health Administration Executive Career Field Performance Plan. Revised text is contained in [brackets]. The pages in this issuance replace the corresponding page numbers in VA Directive 5013 which is maintained on the [Office of Human Resources Management Web site](#).
- 3. RESPONSIBLE OFFICE:** The Employee Relations and Performance Management Service (051), Office of the Deputy Assistant Secretary for Human Resources Management.
- 4. RELATED HANDBOOK:** VA Handbook 5013, "Performance Management Systems."
- 5. RESCISSIONS:** Refer to the Transmittal Sheet for VA Directive 5001, "General Introduction and Administration."

CERTIFIED BY:

**BY DIRECTION OF THE SECRETARY
OF VETERANS AFFAIRS:**

/s/
Roger W. Baker
Assistant Secretary for
Information and Technology

/s/
John U. Sepúlveda
Assistant Secretary for
Human Resources and Administration

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(f) Continuously improve the performance appraisal, feedback, and recognition policies and processes through systematic and periodic evaluations.

b. Title 38 Proficiency Rating System

(1) **Scope.** The provisions of this paragraph apply to the proficiency evaluation of physicians, dentists, podiatrists, optometrists, chiropractors, nurses, nurse anesthetists, physician assistants and expanded-function dental auxiliaries appointed under authority of 38 U.S.C., chapter 73 or 74. The above categories of individuals are included in the term employee(s) as used in this paragraph unless otherwise specified. The term "Under Secretary for Health or designee" as used in this paragraph means the Under Secretary for Health or a designee in VACO.

(2) Exclusions

(a) The Under Secretary for Health

(b) Health care facility directors appointed under 38 U.S.C. 7401(1); directors, Veterans Integrated Service Network (VISN) and VISN clinical managers; and health care executives appointed under 38 U.S.C. 7306 will be evaluated using the Senior Executive Service performance appraisal system.

(c) Hybrid title 38 employees appointed under 38 U.S.C. 7401(3) or 7405(a)(1)(B).

(d) Title 38 employees [whose performance is appraised under the Veterans Health Administration Executive Career Field Performance Plan on VA Form 3482e].

(3) General

(a) The proficiency rating system is designed to assure the effective and efficient utilization of the covered employees and to furnish bases for assistance and guidance to them in the performance of their assignments and the development of their skills and abilities.

(b) The proficiency rating system will provide for planned, continuous, and systematic review, analysis and evaluation by all supervisors of the effectiveness of employees in their assignments.

(c) The proficiency rating of supervisors will include an evaluation of their performance in furthering equal employment opportunity, including employment of disabled veterans and other disabled individuals, minority groups, and women.

3. RESPONSIBILITIES

a. Title 5 Performance Appraisal Program

(1) Under Secretaries, Assistant Secretaries, and Other Key Officials will:

(a) Develop and manage performance appraisal programs for their respective organizations.

(b) Determine the linkage, if any, between the results of performance appraisal under any program developed and awards.

(c) Provide training with technical assistance for Raters, group and team leaders and employees on relevant parts of the appraisal program.

(d) Periodically evaluate the effectiveness of performance appraisal programs developed under this system within their respective organizations.

(e) Encourage participation of employees and employee representatives in full partnership in the development and implementation of organizational performance appraisal programs.

(2) The Deputy Assistant Secretary for Human Resources Management [] will:

(a) Provide guidance on and assistance in developing performance appraisal programs.

(b) Analyze and evaluate the effectiveness of the performance appraisal system periodically and recommend modifications, as needed.

(c) Develop core training on performance appraisal and VA's appraisal system.

(3) Raters and group and team leaders will:

(a) Encourage involvement by employees and their representatives in the development of performance plans.

(b) Ensure that employees receive and have an understanding of the performance expectations contained in their performance plan.

(c) Communicate with employees on a continuing basis regarding their achievements and areas in which they could improve.

(4) Employees are strongly encouraged to:

(a) Participate in the development of their performance plan.

(b) Communicate with the Rater on a continuing basis about their performance and its relationship to organizational goals and objectives.

b. Title 38 Proficiency Rating System. The Under Secretary for Health and designees will prescribe instructions for periodic counseling of employees, for regular annual proficiency ratings, for delays of these ratings, and for special ratings to be made as administratively required. (See part II of VA Handbook 5013, Performance Management Systems.)